

# SMALL ENTITY DECLARATION

APPLICANT OR PATENTEE GRINSTED et al

SERIAL NO. \_\_\_\_\_ ☐ PATENT NO. \_\_\_\_\_

ATTORNEY'S

DOCKET NO. P108149-00000

☒ 1. FILED OR ISSUED

☐ 2. SUBMITTED HEREWITH

FOR : EXTRACTING POWER FROM MOVING WATER

I (we) hereby declare that I (we) am (are) entitled to the benefit of small entity status with respect to the above-identified application or patent for purposes of paying reduced fees under 35 U.S.C. §41(a) and (b) to the U.S. Patent and Trademark Office.

☐ A. **INDEPENDENT INVENTOR**

I (we) qualify as (an) independent inventor(s) as defined in 37 C.F.R. §1.9(c).

☐ B. **INDIVIDUAL NON-INVENTOR**

I (we) would qualify as (an) independent inventor(s) as defined in 37 C.F.R. §1.9(c) if I had made the invention.

☒ C. **SMALL BUSINESS CONCERN**

I am ☐ THE OWNER ☐ AN OFFICIAL of the small business concern identified below and am empowered to act on behalf of the concern. The concern qualifies under 37 C.F.R. §1.9(d) and 13 C.F.R. §121.3-18. Rights under contract or law have been conveyed to and remain with the concern and are exclusive unless a checkmark is placed here ☐. All other rights belong to small entities as defined in 37 C.F.R. §1.9.

☐ D. **NON-PROFIT ORGANIZATION**

I am an official empowered to act on behalf of the non-profit organization identified below. The organization qualifies under 37 C.F.R. §1.9(e), subsection: ☐ (1) ☐ (2) ☐ (3) ☐ (4). Rights under contract or law have been conveyed to and remain with the organization and are exclusive unless a checkmark is placed here ☐. All other rights belong to small entities as defined in 37 C.F.R. §1.9.

I (we) acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate [37 C.F.R. §1.28(b)].

I (we) declare under penalty of perjury under the laws of the United States of America that the foregoing is true and correct.

A. INDEPENDENT INVENTORS(S)

B. INDIVIDUAL NON-INVENTOR(S)

\_\_\_\_\_  
Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

C. BUSINESS CONCERN

D. NON-PROFIT ORGANIZATION

The Engineering Business Limited  
Name of Concern or Organization

Broomhaugh House, Riding Mill, Northumberland NE44 6EG, United Kingdom  
Address

By M. J. WATCHORN  
Name of Person Signing

MS Watch  
Signature

Production Director  
Title

15-9-00  
Date

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## Declaration For U.S. Patent Application

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

(Insert Title) **EXTRACTING POWER FROM MOVING WATER**

the specification of which is attached hereto unless the following box is checked:

☒ was filed on March 5, 1999 as PCT International Application Number PCT/GB99/00573 and was amended on \_\_\_\_\_

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claim(s), as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 C.F.R. §1.56.

I hereby claim foreign priority benefits under 35 U.S.C. §119(a)-(d) or §365(b) of any foreign application(s) for patent or inventor's certificate, or §365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below any foreign application for patent or inventor's certificate or PCT International Application having a filing date before that of the application(s) for which priority is claimed:

(List prior foreign applications. See note A on back of this page)	<u>9804770.7</u> (Number)	<u>GB</u> (Country)	<u>7 March 1998</u> (Day/Month/Year Filed)	Priority Claimed <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
	_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)	<input type="checkbox"/> Yes <input type="checkbox"/> No
	_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)	<input type="checkbox"/> Yes <input type="checkbox"/> No

I hereby claim the benefit under 35 U.S.C. §119(e) of any United States provisional application(s) listed below.

_____ (Application Number)	_____ (Filing Date)
_____ (Application Number)	_____ (Filing Date)

(See Note B on back of this page)

☐ See attached list for additional prior foreign or provisional applications.

I hereby claim the benefit under 35 U.S.C. §120 of any United States application(s) or §365(c) of any PCT International application(s) designating the United States of America listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior application(s) (U.S. or PCT) in the manner provided by the first paragraph of 35, U.S.C. §112, I acknowledge the duty to disclose information which is material to patentability as defined in 37 C.F.R. §1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application.

(List prior U.S. Applications or PCT International applications designating the U.S.)	_____ (Application Serial No.)	_____ (Filing Date)	_____ (Status) (patented, pending, abandoned)
	_____ (Application Serial No.)	_____ (Filing Date)	_____ (Status) (patented, pending, abandoned)

And I hereby appoint as principal attorneys: Robert B. Murray, Reg. No. 22,980; David T. Nikaido, Reg. No. 22,663; Charles M. Marmelstein, Reg. No. 25,895; George E. Oram, Jr., Reg. No. 27,931; Douglas H. Goldhush, Reg. No. 33,125; Monica Chin Kitts, Reg. No. 36,105; Richard J. Berman, Reg. No. 39,107; King L. Wong, Reg. No. 37,500; James A. Poulos, III, Reg. No. 31,714; Murat Ozgu, Reg. No. 44,275; Bradley D. Goldizen, Reg. No. 43,637; N. Alexander Nolte, Reg. No. 45,689; Robert K. Carpenter, Reg. No. 34,794; Gregory B. Kang, Reg. No. 45,273; Rustan J. Hill, Reg. No. 37,351; Rhonda L. Barton, Reg. No. 47,271; Carl Schaukowitch, Reg. No. 29,211; and Kevin F. Turner, Reg. No. 43,437.

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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further, that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

(See Note C on back of this page)

Full name of sole or first inventor: Timothy William GRINSTED

Inventor's signature T.W. Grinsted

15-9-00  
Date

Residence: Beaumont House, Stocksfield, Northumberland NE43 7TN, United Kingdom

Citizenship: Great Britain

Post Office Address: Same as above

Full name of second joint inventor, if any: Michael John WATCHORN

200 Inventor's signature

M. Swate

15-9-00

Date

Residence: The Old Coach House, High Mickley Stocksfield, Northumberland NE43 7LU United Kingdom

Citizenship: Great Britain

Post Office Address: Same as above

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